

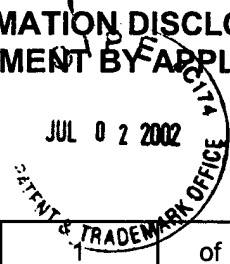
#1

|   |  |  |  |  |                                     |      |                          |       |          |                               |
|---|--|--|--|--|-------------------------------------|------|--------------------------|-------|----------|-------------------------------|
| Form 1449   |  | U.S. Department of Commerce<br>Patent and Trademark Office   |  |  | ATTY. DOCKET NO.<br>2444-101        |      | SERIAL NO.<br>09/601,444 |       |          |                               |
| LIST OF MATERIALS CITED BY APPLICANT<br>(Use several sheets if necessary)   |  |  |  |  | APPLICANT<br>Esther H. CHANG et al. |      |                          |       |          |                               |
|   |  |  |  |  | FILING DATE<br>02 August 2000       |      | GROUP                    |       |          |                               |
| U.S. PATENT DOCUMENTS   |  |  |  |  |                                     |      |                          |       |          |                               |
| EXAMINER<br>INITIAL   |  | DOCUMENT<br>NUMBER   |  |  |                                     | DATE | NAME                     | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|   |  |  |  |  |                                     |      |                          |       |          |                               |
|   |  |  |  |  |                                     |      |                          |       |          |                               |
|   |  |  |  |  |                                     |      |                          |       |          |                               |
| FOREIGN PATENT DOCUMENTS  |  |  |  |  |                                     |      |                          |       |          |                               |
|   |  | DOCUMENT<br>NUMBER   |  |  |                                     | DATE | COUNTRY                  | CLASS | SUBCLASS | TRANSLATION                   |
|   |  |  |  |  |                                     |      |                          |       |          | YES NO                        |
|   |  |  |  |  |                                     |      |                          |       |          |                               |
|   |  |  |  |  |                                     |      |                          |       |          |                               |
| NON-PATENT DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)   |  |  |  |  |                                     |      |                          |       |          |                               |
| a   |  | Aoki, K et al. "Liposome-mediated <i>in Vivo</i> Gene Transfer of Antisense K-ras Construct Inhibits Pancreatic Tumor Dissemination in the Murine Peritoneal Cavity", <i>Cancer Research</i> , Sept. 1, 1995; 55:3810-3816 |  |  |                                     |      |                          |       |          |                               |
|   |  | Dzau, V.J. et al. "Fusigenic viral liposome for gene therapy in cardiovascular diseases", <i>Proc. Natl. Acad. Sci. USA</i> , October 1996; 93:11421-11425   |  |  |                                     |      |                          |       |          |                               |
|   |  | Feero, W.G. et al. "Selection and use of ligands for receptor-mediated gene delivery to myogenic cells", <i>Gene Therapy</i> , 1997; 4:664-674   |  |  |                                     |      |                          |       |          |                               |
|   |  | Filion, M.C. et al. "Toxicity and immunomodulatory activity of liposomal vectors formulated with cationic lipids toward immune effector cells", <i>Biochimica et Biophysica Acta</i> , 1997; <del>1329</del> 345-356       |  |  |                                     |      |                          |       |          |                               |
|   |  | Grimaldi, S. et al. "Attempts to use liposomes and RBC ghosts as vectors in drug and antisense therapy of virus infection", <i>Res. Virol.</i> , 1997; 148:177-180   |  |  |                                     |      |                          |       |          |                               |
|   |  | He, Y. et al. "Growth Inhibition of Human Papillomavirus 16 DNA-positive Mouse Tumor by Antisense RNA Transcribed from U6 Promoter", <i>Cancer Research</i> , September 15, 1997; 57:3993-3999                             |  |  |                                     |      |                          |       |          |                               |
| v   |  | Lappalainen, K. et al. "Cationic liposomes mediated delivery of antisense oligonucleotides targeted to HPV 16 E7 mRNA in CaSki cells", <i>Antiviral Research</i> , 1994; 23:119-130  |  |  |                                     |      |                          |       |          |                               |
| EXAMINER  |  |  |  |  | DATE CONSIDERED                     |      |                          |       |          |                               |
|   |  |  |  |  | 7/9/02                              |      |                          |       |          |                               |
| EXAMINER: Initial if reference considered, whether or not citation is in conformation with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |  |  |  |  |                                     |      |                          |       |          |                               |

|   |  |   |                              |                          |  |  |  |
|---|--|---|------------------------------|--------------------------|--|--|--|
| Form 1449   | U.S. Department of Commerce<br>Patent and Trademark Office |   | ATTY. DOCKET NO.<br>2444-101 | SERIAL NO.<br>09/601,444 |  |  |  |
| LIST OF MATERIALS CITED BY APPLICANT<br>(Use several sheets if necessary)   |  | APPLICANT<br>Esther H. CHANG et al.   |                              |                          |  |  |  |
|   |  | FILING DATE<br>02 August 2000   | GROUP                        |                          |  |  |  |
| NON-PATENT DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)   |  |   |                              |                          |  |  |  |
| B   |  | Lavigne, C. et al. "Enhanced Antisense Inhibition of Human Immunodeficiency Virus Type 1 in Cell Cultures by DLS Delivery System", <i>Biochemical and Biophysical Research Communications</i> , 1997; 237:566-571   |                              |                          |  |  |  |
|   |  | Lee, R.J. et al. "Folate-targeted, Anionic Liposome-entrapped Polylysine-condensed DNA for Tumor Cell-specific Gene Transfer", <i>The Journal of Biological Chemistry</i> , April 5, 1996; 271(14):8481-8487  |                              |                          |  |  |  |
|   |  | Morishita, R. et al. "Molecular Delivery System for Antisense Oligonucleotides: Enhanced Effectiveness of Antisense Oligonucleotides by HVJ-liposome Mediated Transfer", <i>J. Cardiovasc. Pharmacol. Therapeut.</i> , 1996; 2(3):213-222                             |                              |                          |  |  |  |
|   |  | Plank, C. et al. "Activation of the Complement System by Synthetic DNA Complexes: A Potential Barrier for Intravenous Gene Delivery", <i>Human Gene Therapy</i> , Aug. 1, 1996; 7:1437-1446   |                              |                          |  |  |  |
|   |  | Renneisen, K. et al. "Inhibition of Expression of Human Immunodeficiency Virus-1 <i>in Vitro</i> by Antibody-targeted Liposomes Containing Antisense RNA to the <i>env</i> Region", <i>The Journal of Biological Chemistry</i> , Sept. 25, 1990; 265(27):16337-16342  |                              |                          |  |  |  |
|   |  | Ropert, C. et al. "Oligonucleotides Encapsulated in pH Sensitive Liposomes are Efficient Toward Friend Retrovirus", <i>Biochemical and Biophysical Research Communications</i> , Mar. 16, 1992; 183(2):879-885  |                              |                          |  |  |  |
|   |  | Seth, P. et al. "Adenovirus-mediated Gene Transfer to Human Breast Tumor Cells: An Approach for Cancer Gene Therapy and Bone Marrow Purging", <i>Cancer Research</i> , Mar. 15, 1996; 56:1346-1351  |                              |                          |  |  |  |
|   |  | Wagner, E. et al. "Influenza virus hemagglutinin HA-2 N-terminal fusogenic peptides augment gene transfer by transferrin-polylysine-DNA complexes: Toward a synthetic virus-like gene-transfer vehicle", <i>Proc. Natl. Acad. Sci. USA</i> , Sept. 1992; 89:7934-7938 |                              |                          |  |  |  |
|   |  | Xu, M. et al. "Parenteral Gene Therapy with p53 Inhibits Human Breast Tumors <i>In Vivo</i> Through a Bystander Mechanism Without Evidence of Toxicity", <i>Human Gene Therapy</i> , Jan. 20, 1997; 8:177-185   |                              |                          |  |  |  |
|   |  | Zelphati, O. et al. "Synthesis and anti-HIV activity of thiocholesteryl-coupled phosphodiester antisense oligonucleotides incorporated into immunoliposomes", <i>Antiviral Research</i> , 1994; 25:13-25  |                              |                          |  |  |  |
| V   |  | Zelphati, O. et al. "Antisense oligonucleotides in solution or encapsulated in immunoliposomes inhibit replication of HIV-1 by several different mechanisms", <i>Nucleic Acids Research</i> , 1994; 22(20):4307-4314  |                              |                          |  |  |  |
|   |  |   |                              |                          |  |  |  |
| EXAMINER  |  | Dm  |                              |                          |  |  |  |
|   |  | DATE CONSIDERED   |                              |                          |  |  |  |
|   |  | 7/9/02  |                              |                          |  |  |  |
| EXAMINER: Initial if reference considered, whether or not citation is in conformation with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |  |   |                              |                          |  |  |  |

#7

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**



Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | 09/601,444        |
| Filing Date          | January 4, 2001   |
| First Named Inventor | Esther H. Chang   |
| Group Art Unit       | 1632              |
| Examiner Name        | Dave Trong Nguyen |

|       |   |    |   |                        |          |
|-------|---|----|---|------------------------|----------|
| Sheet | 1 | of | 1 | Attorney Docket Number | 2444-101 |
|-------|---|----|---|------------------------|----------|

**U.S. PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | U.S. Patent Document |                                      | Name of Patentee or Applicant<br>of Cited Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY |
|-----------------------|--------------------------|----------------------|--------------------------------------|--|--|
|                       |                          | Number               | Kind Code <sup>2</sup><br>(if known) |  |  |
| <i>o</i>              | AA                       | 6,071,533            |                                      | Papahadjopoulos et al.                             | 06-06-2000   |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |
|                       |                          |                      |                                      |  |  |

RECEIVED

JUL 08 2002

TECH CENTER 1600/2900

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document     |                     |                                 | Name of Patentee of Applicant of<br>Cited Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | T <sup>6</sup> |
|-----------------------|--------------------------|-----------------------------|---------------------|---------------------------------|--|--|----------------|
|                       |                          | Office <sup>3</sup><br>Code | Number <sup>4</sup> | Kind <sup>5</sup><br>(if known) |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |
|                       |                          |                             |                     |                                 |  |  |                |

Examiner  
Signature

*Dahn*

Date  
Considered

7/1/02

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code.

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached. AB indicates that only an English language abstract is attached.